

**TRANSLATION****PATENT COOPERATION TREATY****PCT****INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY**

(Chapter II of the Patent Cooperation Treaty)

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference <b>348-S04P1318</b>	FOR FURTHER ACTION	See Form PCT/IPEA/416
International application No. <b>PCT/JP2004/013919</b>	International filing date (day/month/year) <b>24.09.2004</b>	Priority date (day/month/year) <b>29.09.2003</b>
International Patent Classification (IPC) or national classification and IPC <b>G02B5/02, G02B6/00, G02F1/13357</b>		
Applicant <b>SONY CORPORATION</b>		

1. This report is the international preliminary examination report, established by this International Preliminary Examining Authority under Article 35 and transmitted to the applicant according to Article 36.
2. This REPORT consists of a total of <u>7</u> sheets, including this cover sheet.
3. This report is also accompanied by ANNEXES, comprising: a. <input checked="" type="checkbox"/> (sent to the applicant and to the International Bureau) a total of <u>5</u> sheets, as follows: <input checked="" type="checkbox"/> sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications authorized by this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions). <input type="checkbox"/> sheets which supersede earlier sheets, but which this Authority considers contain an amendment that goes beyond the disclosure in the international application as filed, as indicated in item 4 of Box No. I and the Supplemental Box. b. <input type="checkbox"/> (sent to the International Bureau only) a total of (indicate type and number of electronic carrier(s)) _____, containing a sequence listing and/or tables related thereto, in computer readable form only, as indicated in the Supplemental Box Relating to Sequence Listing (see Section 802 of the Administrative Instructions).
4. This report contains indications relating to the following items: <input checked="" type="checkbox"/> Box No. I Basis of the report <input type="checkbox"/> Box No. II Priority <input type="checkbox"/> Box No. III Non-establishment of opinion with regard to novelty, inventive step and industrial applicability <input checked="" type="checkbox"/> Box No. IV Lack of unity of invention <input checked="" type="checkbox"/> Box No. V Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement <input type="checkbox"/> Box No. VI Certain documents cited <input type="checkbox"/> Box No. VII Certain defects in the international application <input type="checkbox"/> Box No. VIII Certain observations on the international application

Date of submission of the demand	Date of completion of this report
Name and mailing address of the IPEA/JP	Authorized officer
Facsimile No.	Telephone No.

INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY

International application No.

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Box No. I Basis of the report

1. With regard to the language, this report is based on the international application in the language in which it was filed, unless otherwise indicated under this item.
  - ☐ This report is based on translations from the original language into the following language \_\_\_\_\_ which is the language of a translation furnished for the purposes of:
    - ☐ international search (Rule 12.3 and 23.1(b))
    - ☐ publication of the international application (Rule 12.4)
    - ☐ international preliminary examination (Rule 55.2 and/or 55.3)
2. With regard to the elements of the international application, this report is based on *(replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report)*:
  - ☐ the international application as originally filed/furnished
  - ☒ the description:
    - pages 1-31 as originally filed/furnished
    - pages\* \_\_\_\_\_ received by this Authority on \_\_\_\_\_
    - pages\* \_\_\_\_\_ received by this Authority on \_\_\_\_\_
  - ☒ the claims:
    - nos. 2, 6, 12-15, 17, 19, 22-35 as originally filed/furnished
    - nos.\* 1, 4, 7, 9, 16, 18, 21 as amended (together with any statement) under Article 19
    - nos.\* \_\_\_\_\_ received by this Authority on \_\_\_\_\_
    - nos.\* \_\_\_\_\_ received by this Authority on \_\_\_\_\_
  - ☒ the drawings:
    - sheets fig. 1-29 as originally filed/furnished
    - sheets\* \_\_\_\_\_ received by this Authority on \_\_\_\_\_
    - sheets\* \_\_\_\_\_ received by this Authority on \_\_\_\_\_
  - ☐ a sequence listing and/or any related table(s) – see Supplemental Box Relating to Sequence Listing.
3. ☒ The amendments have resulted in the cancellation of:
  - ☐ the description, pages \_\_\_\_\_
  - ☒ the claims, nos. 3, 5, 8, 10-11, 20
  - ☐ the drawings, sheets/figs \_\_\_\_\_
  - ☐ the sequence listing (specify): \_\_\_\_\_
  - ☐ any table(s) related to sequence listing (specify): \_\_\_\_\_
4. ☐ This report has been established as if (some of) the amendments annexed to this report and listed below had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).
  - ☐ the description, pages \_\_\_\_\_
  - ☐ the claims, nos. \_\_\_\_\_
  - ☐ the drawings, sheets/figs \_\_\_\_\_
  - ☐ the sequence listing (specify): \_\_\_\_\_
  - ☐ any table(s) related to sequence listing (specify): \_\_\_\_\_

\* If item 4 applies, some or all of those sheets may be marked "superseded."

## INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY

International application No.

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## Box No. IV Lack of unity of invention

1. ☒ In response to the invitation to restrict or pay additional fees the applicant has:
- ☐ restricted the claims.
  - ☒ paid additional fees.
  - ☐ paid additional fees under protest.
  - ☐ neither restricted the claims nor paid additional fees.
2. ☐ This Authority found that the requirement of unity of invention is not complied with and chose, according to Rule 68.1, not to invite the applicant to restrict or pay additional fees.
3. This Authority considers that the requirement of unity of invention in accordance with Rules 13.1, 13.2 and 13.3 is:
- ☐ complied with.
  - ☒ not complied with for the following reasons:

The claims that are mentioned below have been amended in conformance with the stipulations of Article 19 of the Patent Cooperation Treaty.

[Refer to the Supplemental Box]

4. Consequently, this report has been established in respect of the following parts of the international application:
- ☒ all parts.
  - ☐ the parts relating to claims Nos. \_\_\_\_\_

## International application No.

Box No. V	Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
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NO

## INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY

International application No.

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Box No. V

Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability;  
citations and explanations supporting such statement

B1

Document 9: JP 7-270708 A (Enplas Corp.), 20 October  
1995, entire text, all drawings & US 5899552  
A1 & US 6152570 A1 & US 6290364 B1

The inventions that are set forth in claims 1 to 2,  
4, 6 to 7, 9, 12 to 19 and 21 to 35 are not disclosed in  
documents 1 to 9, which are cited in the international  
search report, and would not have been obvious to a  
person skilled in the art.

## Supplemental Box

In case the space in any of the preceding boxes is not sufficient.

Continuation of:

Box IV.

I. The inventions set forth in claims 1, 2, 4, 6, 7, 9 and 12 to 17 are characterized in that the "aforementioned diffusion plate is configured from a diffusion layer for diffusing the aforementioned light that is generated by the aforementioned light source and a light orientation layer whereby the aforementioned light that has been diffused by means of the aforementioned diffusion layer is oriented in the direction toward the aforementioned liquid crystal display element, said light orientation layer being integrated with the aforementioned diffusion layer on the side of the aforementioned diffusion layer which faces the aforementioned liquid crystal display element, wherein the aforementioned diffusion layer includes a diffusion element and has a configuration in which the first resin, which constitutes the aforementioned light orientation layer and the portions of the aforementioned diffusion layer other than the aforementioned diffusion element, is different from the second resin, which constitutes the aforementioned diffusion element."

II. The inventions set forth in claims 18 to 19 and 21 are characterized in that the "aforementioned diffusion plate is configured from a light collection layer for collecting the aforementioned light that is generated by the aforementioned light source and a light orientation layer whereby the aforementioned light that has been collected by means of the aforementioned light collection

## Supplemental Box

layer is oriented in the direction toward the aforementioned liquid crystal display element, said light orientation layer being integrated with the aforementioned light collection layer on the side of the aforementioned light collection layer which faces the aforementioned liquid crystal display element, wherein the aforementioned light collection layer has a prismatic form that is configured by disposing a plurality of prisms, which have shapes that differ according to the distance from the aforementioned light source, on the surface of the aforementioned light collection layer which faces the aforementioned light source."

III. The inventions set forth in claims 22 to 35 are characterized in that within the light guide plate, the "gate for injecting the molten material, which is filled into the interior of the cavity in the injection molding die when forming the aforementioned light guide plate by means of injection molding, is provided on the side of the light guide plate which faces the aforementioned light introduction surface at a location where no light emitting element has been disposed."

Such being the case, the three invention groups cannot be said to share a common "special technical feature" in the meaning of PCT Rule 13.2. Consequently, these three invention groups cannot be considered to be linked so as to form a single general inventive concept.

The claims that are considered to conform to the requirement of unity of invention by the International Preliminary Examining Authority are as follows.

Claims 1, 2, 4, 6, 7, 9 and 12 to 17

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**Supplemental Box**